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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
10/806,416	03/23/2004	Mitsuaki Hirokawa	Q80574	2263
65565	7590	05/04/2007		
SUGHRUE-265550			EXAMINER	
2100 PENNSYLVANIA AVE. NW			MENON, KRISHNAN S	
WASHINGTON, DC 20037-3213				
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			1723	
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**Please find below and/or attached an Office communication concerning this application or proceeding.**

The time period for reply, if any, is set in the attached communication.

## Office Action Summary

**Application No.**

10/806,416

**Applicant(s)**

HIROKAWA ET AL.

**Examiner**

Krishnan S. Menon

**Art Unit**

1723

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

### Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

### Status

- 1) ☒ Responsive to communication(s) filed on RCE of 4/23/07.
- 2a) ☒ This action is **FINAL**. 2b) ☐ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

### Disposition of Claims

- 4) ☒ Claim(s) 1-3 is/are pending in the application.
- 4a) Of the above claim(s) \_\_\_\_\_ is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_\_ is/are allowed.
- 6) ☒ Claim(s) 1-3 is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_\_ is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

### Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on \_\_\_\_\_ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.  
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).  
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

### Priority under 35 U.S.C. § 119

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some \* c) ☐ None of:
- ☐ Certified copies of the priority documents have been received.
  - ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
  - ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).
- \* See the attached detailed Office action for a list of the certified copies not received.

### Attachment(s)

- |  |   |
|--|---|
| 1) <input type="checkbox"/> Notice of References Cited (PTO-892)   | 4) <input type="checkbox"/> Interview Summary (PTO-413)<br>Paper No(s)/Mail Date. _____ |
| 2) <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948)                                   | 5) <input type="checkbox"/> Notice of Informal Patent Application (PTO-152)             |
| 3) <input type="checkbox"/> Information Disclosure Statement(s) (PTO-1449 or PTO/SB/08)<br>Paper No(s)/Mail Date _____ | 6) <input type="checkbox"/> Other: _____  |

### DETAILED ACTION

Claims 1-3 are pending as originally filed

#### ***Claim Rejections - 35 USC § 103***

Claims 1-3 are rejected under 35 U.S.C. 103(a) as being unpatentable over WO 02/051528, or Schmidt (US 6,352,641).

WO teaches low pressure drop spiral wound modules for applications such as reverse osmosis or ultrafiltration as claimed – see example 5.

Schmidt teaches a spiral wound element as seen in the figures and column 1 lines 8-38. Figure 2 of Schmidt also shows multiple wraps of the permeate spacer material around the core as claimed.

The references do not specifically teach that the effective perforated-part area (area of perforated-part multiplied by the open area of one round of permeate spacer around the core) is at least equal to the cross-sectional area of the tube. However, this factor can be optimized for lowest pressure-drop without compromising the strength of the core tube. Discovery of an optimum value of a result effective variable in a known process is ordinarily within the skill of the art. In re Boesch and Slaney, 205 USPQ 215 (CCPA 1980); In re Antonie, 559 F.2d 618, 195 USPQ 6 (CCPA 1977); “[W]here the general conditions of a claim are disclosed in the prior art, it is not inventive to discover the optimum or workable ranges by routine experimentation.” In re Aller, 220 F.2d 454, 456, 105 USPQ 233, 235 (CCPA 1955). This factor is also commonly used in designing perforated tubes or cores, as seen in the reference Haq et al (US 6,702,941) (column

Art Unit: 1723

26, lines 34-55, which teaches that perforated area should be at least equal to the cross-sectional area of the inlet tube to avoid perforations restricting the flow).

### ***Response to Arguments***

Applicant's arguments filed with the RCE have been fully considered but they are not persuasive.

Applicant's fundamental argument for both the references are the same, that the references do not teach the specific dimensions of the central tube, tube perforations, and the % opening of the permeate spacer wrapped around the tube. Therefore, applicant concludes that the reference does not teach what is claimed.

In the RCE, applicant argues that:

"The Examiner asserts that a person of ordinary skill in the art would have provided for the claimed effective perforated-part area, based on the "very conservative" assumption that the "feed spacer mesh" disclosed in Cruz '528 would have a 50 % opening",

and that pursuant to MPEP 2144.03, it is incorrect to assume a 50% opening without evidence. Applicant also argues that feed spacer mesh disclosed in Cruz'528 is also irrelevant to the claimed effective perforated part area.

The Examiner respectfully disagrees with this argument because Cruz'528 uses feed spacer to wrap around the permeate tube in example 5. Claim recites 'the permeation-side passage material surrounding the core tube'. In the example 5 of Cruz'528, the permeation side passage material surrounding the core tube is actually the feed spacer.

Art Unit: 1723

Even if it were not so, and one considers the material wrapped around the permeate tube as the permeate spacer, the assumptions in the rejection are sound. According to the applicant, the permeation-side passage material has only 20% opening. The calculation presented in the final action of 10/23/06 is corrected according to this assumption and is presented below. As can be seen, it does not make any difference to the patentability.

***Applicant's arguments has not addressed the rejection based on the Schmidt reference,*** and has not provided any evidence of patentability over the references.

With respect to the argument hat the Cruz'528 fails to recognize that the effective perforated-part area is a result effective variable: it is not necessary that the references have to show that it is a result-effective variable. The rejection has clearly shown that it is a result-effective variable, and has provided an evidence in the form of the Haq reference to show how such optimizations have been traditionally done.

Response to arguments from the final action, with corrections to the assumptions, is repeated below:

The examiner agrees that it is difficult for the examiner to show anticipation in this instance, because, even though there are multitudes of references that teach spiral wound membranes with permeate tube, wherein the permeate spacer is wrapped around the permeate tube at least one round, and wherein the permeate tubes have perforations or slots to carry the permeate into the tube, but none of the references

Art Unit: 1723

specifically state the size of the tube, the length of the tube, the number and sizes of the perforations, or the percent openings of the permeate spacers. The commonly used permeate spacer material is the tricot weave material, which is very open. Even if the references do not teach what is claimed in the exact terms, applicant's claims do not have anything novel in them; the % opening through the permeate spacer wrap and the perforations taken together in series would be far more than the cross-sectional area of the permeate tube. It is also a common engineering practice to provide the area of perforations of a perforated distribution/collection tube as significantly greater than the cross-sectional area of the tube so that the perforations do not create undue flow resistance (as evidenced by the Haq reference).

Having said that, applicant's claim 1 recites "... the effective perforate part-area as calculated by multiplying the total area of the perforated parts in the core tube by the percentage of openings of one layer of the permeate-side passage material surrounding the core tube is at least 1.0 time the inner cross-sectional area of the core tube".

To prove the point further, the examiner takes the Cruz'528 reference, example 5, as an example.

Example 5 has 14" wide and 36" long membrane. Therefore, the tube length would be at least 14", and the outside diameter is given as 0.6".

Therefore, the outside cross-sectional area of the tube is  $(0.6)^2 \cdot \pi / 4 = 0.28$  sq.in.

The tube has 14" length. The perforated part of the tube would be within the glue lines. The reference does not provide the exact locations of the glue line on the tube.

Art Unit: 1723

Therefore, it is conservatively assumed that it is about 2" from the tip of the tube on both ends. Thus the perforated region length of the tube is 10".

Area of the perforated-part of the tube =  $10 \times \pi \times 0.6 = 18.8 \text{ sq.in.}$

~~The feed spacer, which is wrapped around the tube in example 5, has a very open structure; as high as, or even higher than, 95%.~~ Assuming conservatively that it the permeate spacer wrapped around the tube is only ~~[[50%]]~~ **20%** open,

The effective perforated part area = The perforated part area \* permeate side passageway material opening =  $18.8 \times 0.2$  ~~[[0.5]]~~ = ~~9.4 sq.in.~~ 3.76 sq.in.

Now, this ~~9.4 sq.in.~~ 3.76 sq.in. is a lot greater than the 0.28 sq.in. area of the outer cross-section of the tube. Naturally, the inner cross-section of the tube would be even less than 0.28 sq.in.

Thus, there is more than a prima facie case of obviousness for the claims with respect to the references cited.

### ***Conclusion***

This is an RCE. All claims are drawn to the same invention claimed in the earlier application and could have been finally rejected on the grounds and art of record in the next Office action if they had been entered in the earlier application. Accordingly, **THIS ACTION IS MADE FINAL** even though it is a first action in this case. See MPEP § 706.07(b). Applicant is reminded of the extension of time policy as set forth in 37 CFR 1.136(a).

Art Unit: 1723

A shortened statutory period for reply to this final action is set to expire THREE MONTHS from the mailing date of this action. In the event a first reply is filed within TWO MONTHS of the mailing date of this final action and the advisory action is not mailed until after the end of the THREE-MONTH shortened statutory period, then the shortened statutory period will expire on the date the advisory action is mailed, and any extension fee pursuant to 37 CFR 1.136(a) will be calculated from the mailing date of the advisory action. In no, however, event will the statutory period for reply expire later than SIX MONTHS from the mailing date of this final action.

Any inquiry concerning this communication or earlier communications from the examiner should be directed to Krishnan S. Menon whose telephone number is 571-272-1143. The examiner can normally be reached on 8:00-4:30.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Steven Griffin can be reached on 571-272-1189. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.



Art Unit: 1723

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free). If you would like assistance from a USPTO Customer Service Representative or access to the automated information system, call 800-786-9199 (IN USA OR CANADA) or 571-272-1000.

  
Krishnan S Menon  
Primary Examiner  
Art Unit 1723

5/2/07